



3628

10269-13CON
(HSX/001 CON1)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.
Application No. : 09/465,607 Confirmation No. : 9080
Filed : December 17, 1999
For : COMPUTER-IMPLEMENTED SECURITIES
TRADING SYSTEM WITH A VIRTUAL
SPECIALIST FUNCTION
Group Art Unit : 3628
Examiner : Graham, Clement B.

New York, New York 10020
January 21, 2005

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants hereby make the following document of record in
the above-identified patent application:

Non-Patent Document

Tuchlin; Smooth Negotiating: Making the Director Deal. 1998
The Internet printout.

A copy of the document is provided.

This Statement is being submitted after the mailing
of a First Office Action on the merits. Accordingly,

applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement in accordance with 37 C.F.R. § 1.97 (c)(2). The Director is hereby authorized to charge payment of any additional fees required or to credit any overpayment of same in connection with this Information Disclosure Statement to Deposit Account No. 06-1075.

It is respectfully requested that this document be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form SB/08, as considered and initialed by the Examiner, be returned with the next communication.

A duplicate copy of this Supplemental Information Disclosure Statement is enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

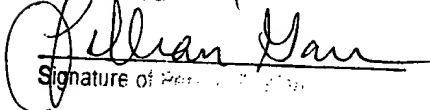


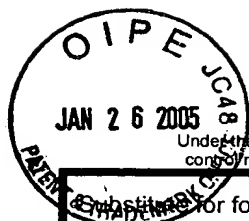
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if known	
Sheet 1 of 1				Application Number 09/465,607	
				Confirmation Number 9080	
				Filing Date December 17, 1999	
				First Named Inventor Timothy Maxwell Keiser	
				Art Unit 3628	
				Examiner Name Graham, Clement B.	
				Attorney Docket Number HSX/001 CON1	

U.S. PATENT DOCUMENTS					
Examiner initials*	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

Examiner Signature	Date Considered
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FOREIGN PATENT DOCUMENTS					
Examiner initials*	Cite No. ¹	Foreign Patent Document Country Code ¹ - Number ² - Kind Code ³	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

Examiner Signature	Date Considered
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NON PATENT LITERATURE DOCUMENTS			
Examiner initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue numbers (s), publisher, city and/or country where published	T ⁶
		Tuchlin; Smooth Negotiating: Making the Director Deal. 1998 The Internet printout.	

Examiner Signature	Date Considered
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.